DOE/NRC Quarterly
Management Meeting

Rockville, Maryland
August 19, 2004
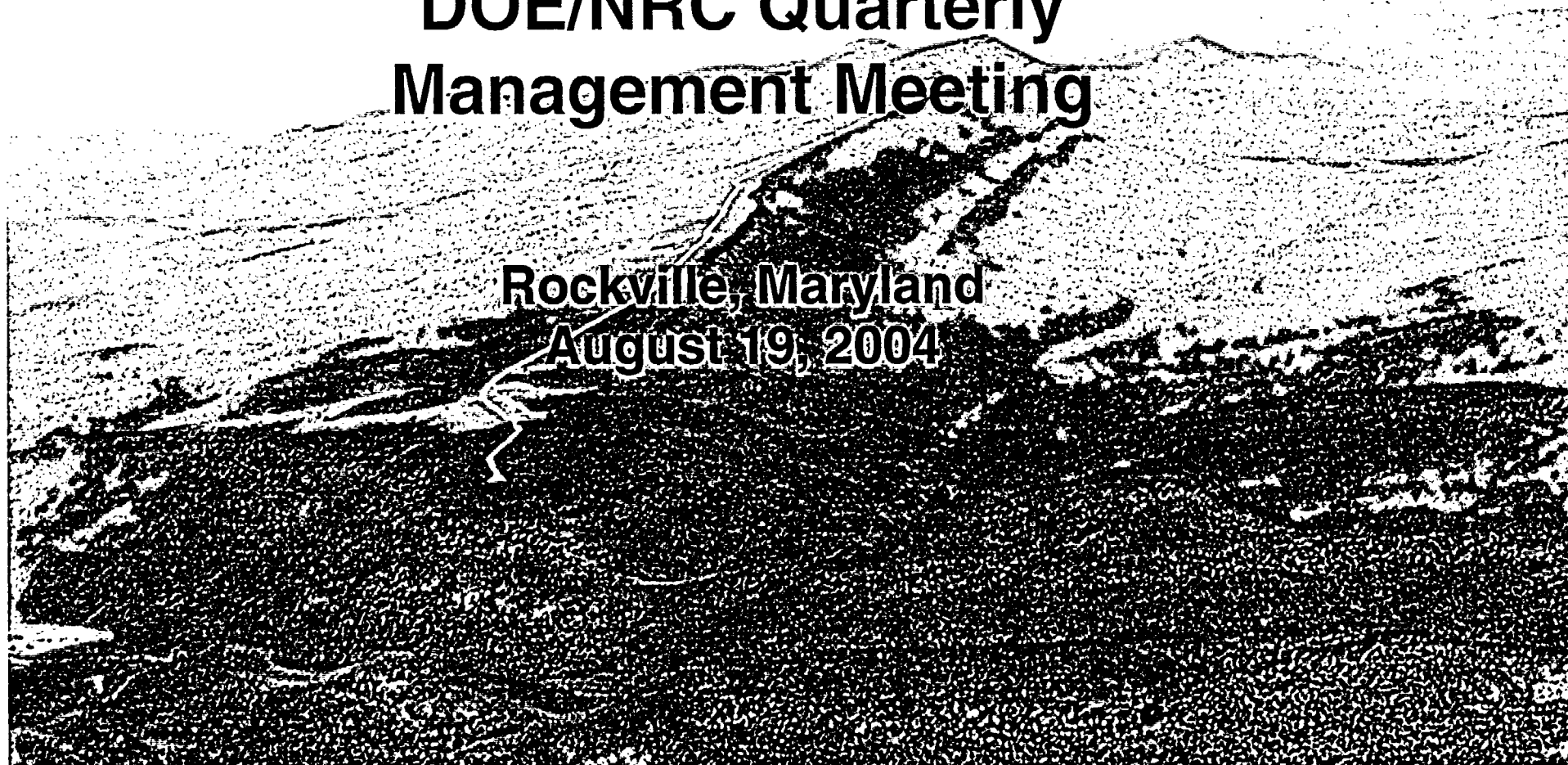
Agenda
DOE/NRC Quarterly Management Meeting
August 19, 2004
10:00 AM– 3:45 PM (ET)
7:00 AM – 12:45 PM (PT)

U. S. Nuclear Regulatory Commission
Two White Flint North, Auditorium
11545 Rockville Pike
Rockville, MD

And via Videoconference to:

BSC	CNWRA
Room 915	Bldg. 189, Conference Room B232
9960 Covington Cross	6220 Culebra Road
Las Vegas, Nevada	San Antonio, TX

INTERESTED PARTIES MAY PARTICIPATE VIA TELECON BY CALLING 1-800-638-8081 or 301-231-5539, Passcode 8918#

Time	Item	Presenter
10:00 AM	Opening Remarks	NRC/DOE
10:15 AM	NRC Program Update	NRC
10:35 AM	DOE Program Update	Dr. Chu
11:00 AM	Yucca Mountain Project Update	Arthur/Mitchell
12:30 PM	Lunch	All
1:30 PM	License Application Status	Ziegler
2:00 PM	QA Program Update	Brown
2:30 PM	Break/Caucus	All
3:00 PM	Action Item Status	Gunter
3:15 PM	Public Comments	All
3:30 PM	Closing Remarks	All
3:45 PM	Adjourn	

Project Update

Presented to:
DOE/NRC Quarterly Management Meeting

Presented by:
W. John Arthur, III
Deputy Director, Office of Repository Development
Office of Repository Development
U.S. Department of Energy

August 19, 2004
Rockville, Maryland

Progress Towards License Application

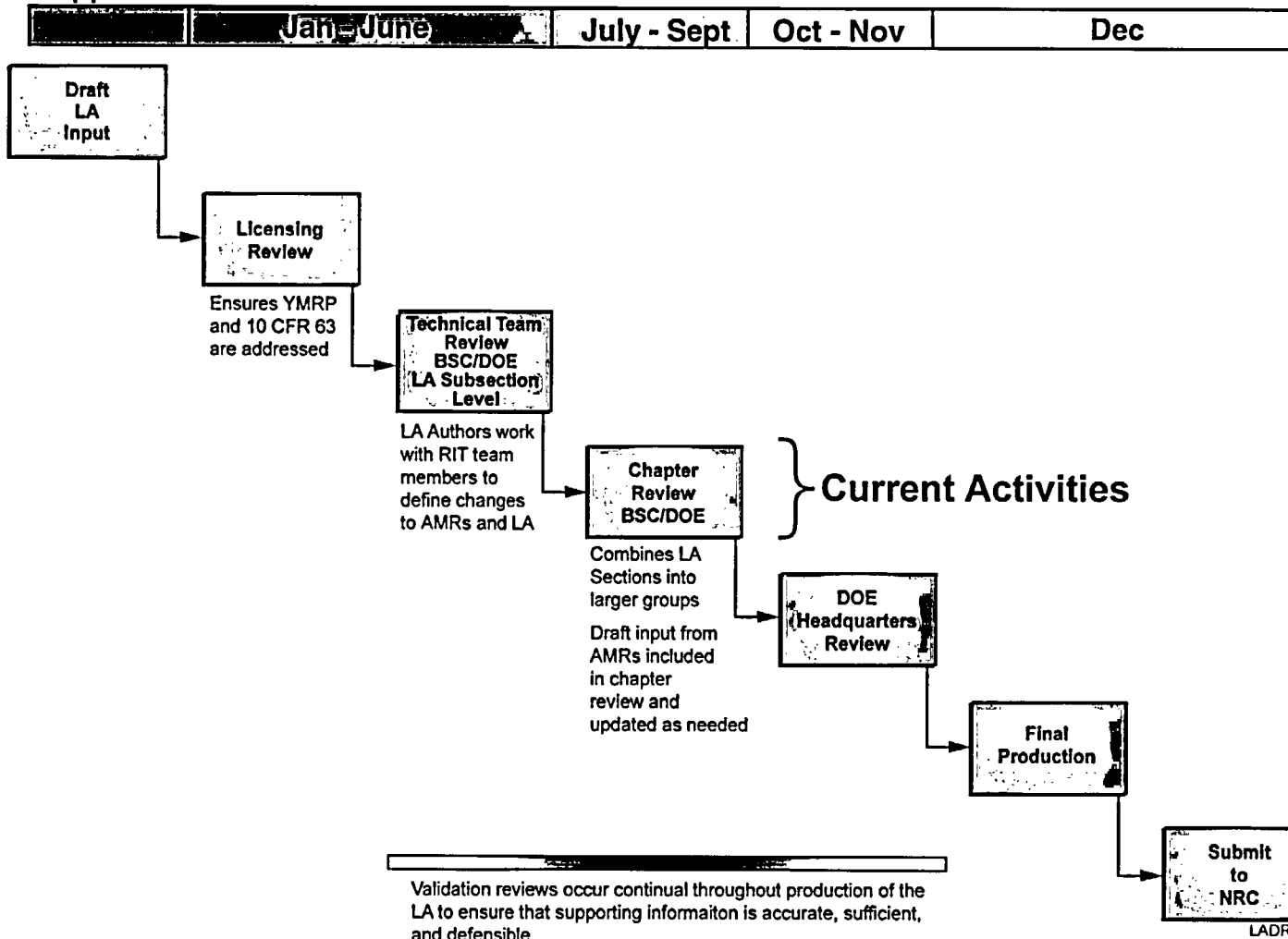| COMPONENT	% COMPLETE (April Data)	% COMPLETE (June Data)
KTI Agreements Addressed*	70%	85%
LA Document	33%	59%
Preclosure Safety Assessment	62%	99%
TSPA-LA	81%	81%**
Design	79%	83%
TOTAL WEIGHTED % COMPLETE	68%	79%

* Status reflected as % of 293 agreements addressed by DOE

** This value will be held at the current value through September pending completion of the Analysis Model Report/Regulatory Integration Team (AMR/RIT) activity and the Total System Performance Assessment-License Application (TSPA-LA) document

License Application
Development and Review Process

Approximate Schedule

	Jan - June	July - Sept	Oct - Nov	Dec

Draft LA Input

Licensing Review

Ensures YMRP and 10 CFR 63 are addressed

Technical Team Review BSC/DOE LA Subsection Level

LA Authors work with RIT team members to define changes to AMRs and LA

Chapter Review BSC/DOE } **Current Activities**

Combines LA Sections into larger groups

Draft input from AMRs included in chapter review and updated as needed

DOE Headquarters Review

Final Production

Submit to NRC

LADRP.ai

Validation reviews occur continual throughout production of the LA to ensure that supporting informaiton is accurate, sufficient, and defensible.

Industry Benchmarking

- Office of Repository Development (ORD) meets on a quarterly basis with industry leaders to discuss best practices and lessons learned

- Discussions include Quality Assurance, Corrective Action Program, Safety Conscious Work Environment, Industry License Validation Process, and other areas of interest

- ORD management is evaluating the value of cross-training assignments for federal personnel to other nuclear facilities

Office of Repository Development Licensee Transition Team

- **Commissioned to develop a transition plan that defines the goals, actions, milestones, and responsibilities for a successful transition to the NRC-regulated Applicant/Licensee environment**

- **Will report to the Associate Deputy Director, chaired by Richard Spence**

- **Final transition plan by September 15, 2004**

- **Some areas of responsibility are:**

  - Define key attributes of a successful NRC Applicant/Licensee

  - Define Applicant/Licensee best practices, processes and systems for each project phase

  - Determine current state and perform gap analysis

  - Define action plans and time frame to implement transition

    - Organization alignment
    - Core management processes
    - Training/Qualifications
    - Inspection readiness

Key Phases of Regulatory Integration Team Process

	February	March	April	May	June	July	August	September
Mobilization								
Organization								
Technical Work Plans								
TSPA Architecture								
Data Trees								
Office Moves								

Phase 1

Document Evaluations (114)

- Evaluations Using Checklists
- Consolidation of Action Items
- Integration Review
- Management Review

Phase 2

Document Production (90)

- Preparation of Draft
- Checking
- AP-2.14 Review
- Approval

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YMArthur_Qrtly Mgmt Meeting_08/19/04.ppt
www.ocrwm.doe.gov
6

Regulatory Integration Team
Evaluation Phase Types of Action Items

37%

7%

36%

20%
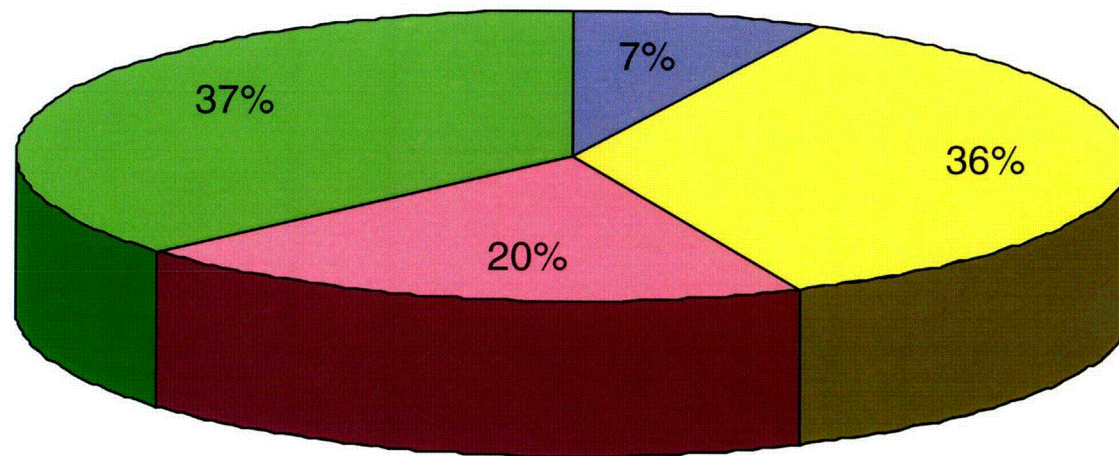
Approximately 3,500
Total Action Items

■ *Technical* ■ *Insufficient Justification* ■ *Procedural* ■ *Style/Clarity/Documentation*

CO1
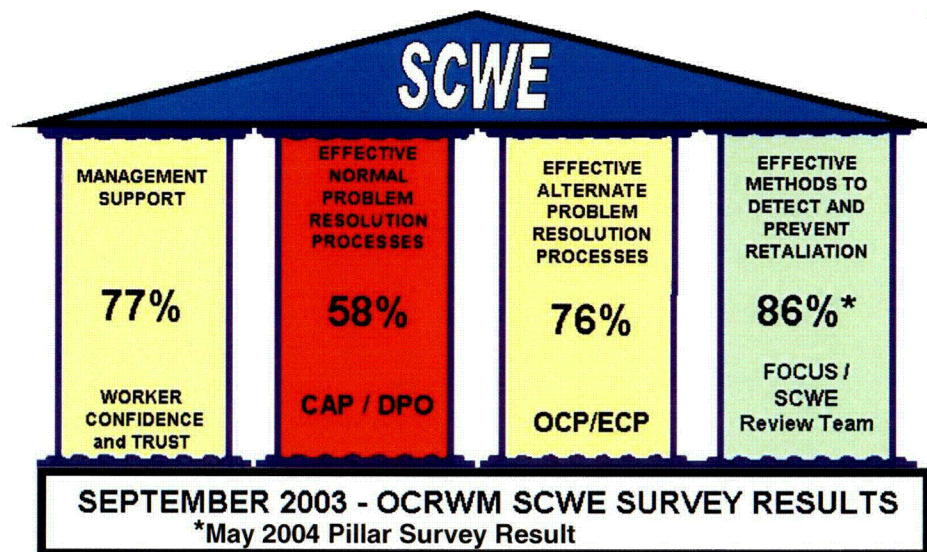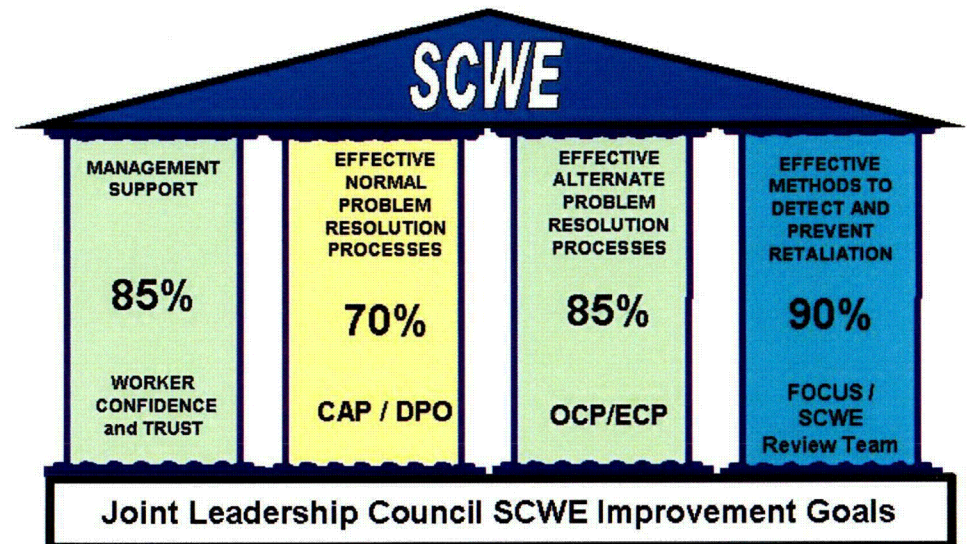
FOUR PILLARS OF A
SAFETY CONSCIOUS WORK ENVIRONMENT

SCWE

MANAGEMENT SUPPORT

↓

WORKER CONFIDENCE

↓

RAISE CONCERNS WITHOUT FEAR OF RETALIATION

EFFECTIVE NORMAL PROBLEM RESOLUTION PROCESSES

DPO
Differing Professional Opinion

CAP
Corrective Action Processes

EFFECTIVE ALTERNATE PROBLEM RESOLUTION PROCESSES

OCP/ECP
Employee Concern Processes

EFFECTIVE METHODS TO DETECT AND PREVENT RETALIATION

SCWE
Review Process
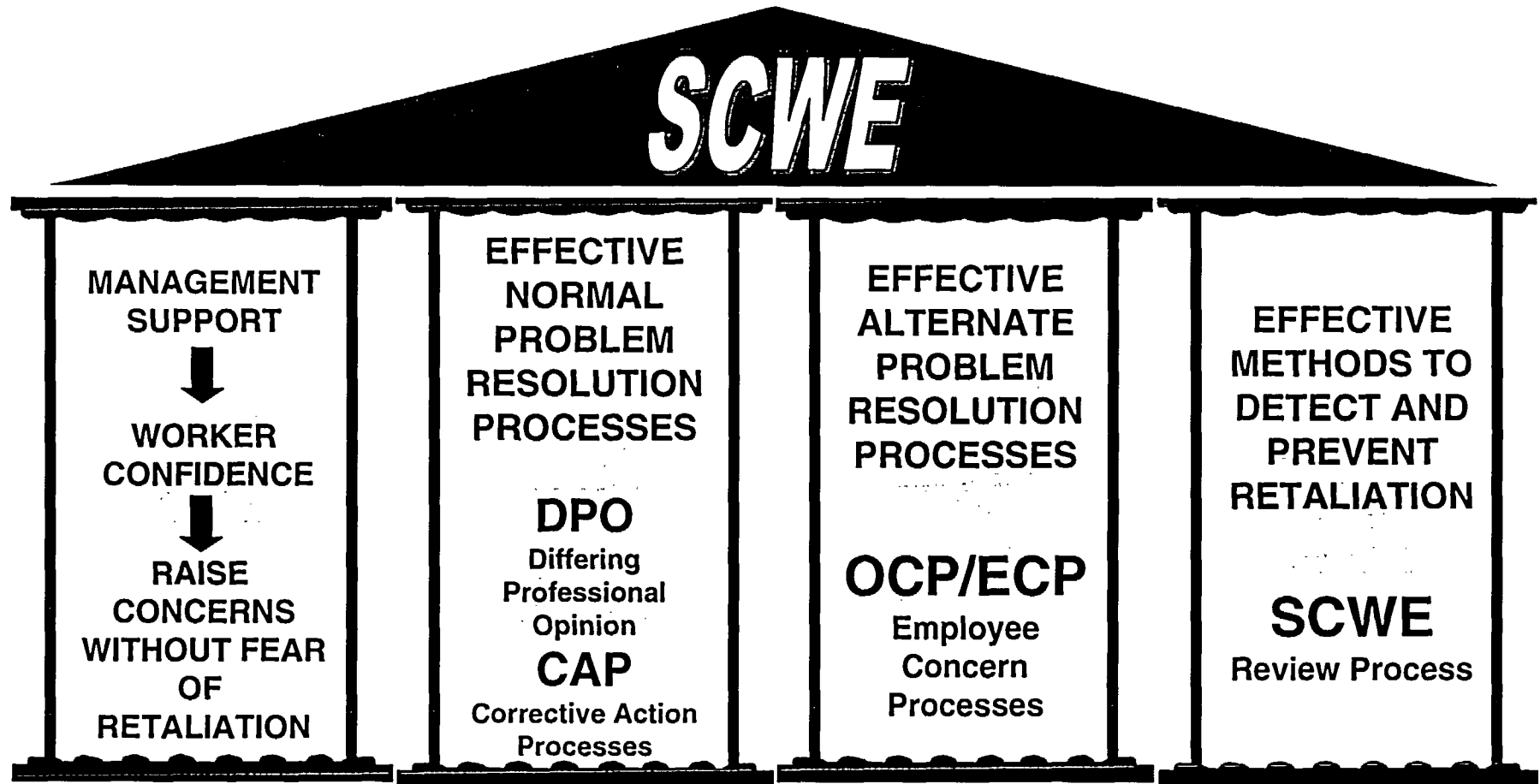
YUCCA MOUNTAIN

BASIC PRINCIPLES
- Treat everyone with respect
- Seek first to understand
- Focus on the situation, not the person
- Take initiative to make things better
- Lead by example

Safety Conscious Work Environment Improving Performance Goals

Joint Leadership Council SCWE Improvement Goals

MANAGEMENT SUPPORT	EFFECTIVE NORMAL PROBLEM RESOLUTION PROCESSES	EFFECTIVE ALTERNATE PROBLEM RESOLUTION PROCESSES	EFFECTIVE METHODS TO DETECT AND PREVENT RETALIATION
85%	70%	85%	90%
WORKER CONFIDENCE and TRUST	CAP / DPO	OCP/ECP	FOCUS / SCWE Review Team

SEPTEMBER 2003 - OCRWM SCWE SURVEY RESULTS
*May 2004 Pillar Survey Result

MANAGEMENT SUPPORT	EFFECTIVE NORMAL PROBLEM RESOLUTION PROCESSES	EFFECTIVE ALTERNATE PROBLEM RESOLUTION PROCESSES	EFFECTIVE METHODS TO DETECT AND PREVENT RETALIATION
77%	58%	76%	86%*
WORKER CONFIDENCE and TRUST	CAP / DPO	OCP/ECP	FOCUS / SCWE Review Team

C02

Status of NRC 30-Day Letter Actions

1. (Ziegler): Submit LA that complies with 10 CFR Part 63 in which data, software, and models meet or exceed applicable quality assurance requirements - December 2004

√ 2. (Ziegler): Present KTI approach to NRC - June 30, 2003 (closed on time)

√ 3. (Brown): Create an effective trend report to monitor procedural compliance, identify causes of non-compliance, and take corrective action as necessary - Sep 30, 2003 (closed March 30, 2004)

√ 4. (Van der Puy): Update AP5.1Q to streamline the review and revision process for procedures – July 30, 2003 (closed on time)

√ 5. (Van der Puy): Screen procedures for needed improvement - July 30, 2003 (closed December 31, 2003)

√ 6. (Brown): Single improved Corrective Action Plan implemented - Sep 30, 2003 (closed on time)

7. (Brown): Goal: Approve 90% of corrective actions within 30 days of initiation of DRs and CARs; complete the corrective action for DRs in fewer than 60 days on average; complete corrective action for CARs in fewer than 100 days on average - TBD

√ 8. (Van Der Puy): SCWE surveys will be performed quarterly with results provided to NRC – July 17, 2003 (closed on time)

➤ √ 9. (Van Der Puy): Additional SCWE training to managers for increased effectiveness – July 7, 2004

√ 10. (Van Der Puy): Conduct external expert annual SCWE surveys -September 19, 2003 (closed on time)

√ 11. (Mellington): Performance criteria for quality, timeliness, procedural compliance, and safety built into the appraisals and evaluations - September 1 2003 (closed September 30, 2003)

√ 12. (Mellington): Demonstrated actions that exceed these expectations will be recognized and failure to meet them will be addressed appropriately - October 1, 2003 (closed on time)

√ 13. (Mellington): Semiannual report to employees to highlight successes, communicate lessons learned, and underscore our commitment to accountability - October 1, 2003 (1st report issued October 15, 2003)

➤ = Recent closures

Quality Assurance Program

Where we were April 03	Actions	Current/Future
Audits and surveillances effective in identifying issues	• Continue to improve audit focus and performance • Integrating audit and surveillance scheduling with scheduling of other project assessments	Continue to improve audit focus and performance Continue integrating QA audit and surveillance scheduling with scheduling of other project assessments
QARD did not implement 10 CFR 63	• Revised QARD	The QA program description will implement 10 CFR 63
Ownership for quality not embraced by line organization	• Transitioning ownership for quality to line organizations, e.g. CAP	Ownership for quality transitioning to line organizations
DOE OQA Organization not aligned to support line organizations	• Develop DOE OQA Quality Engineer function	Continue to develop DOE OQA Quality Engineer function to support line organizations in implementing QA program
Significant CAQs identified with products critical to License Application • Data • Models • Software	• Perform Root Cause Analyses • Revised procedures • Trained personnel • Increased QA oversight • Implementing Regulatory Integration Team	Issue critical to a quality License Application identified and being corrected Corrective actions complete for significant CAQs for data, models, and software
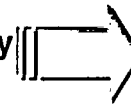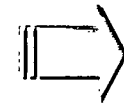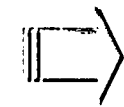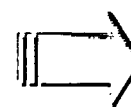
July 2004 MOR Annunciator Panel

Note: Reflects the end of June data.

License Application Status

Presented to:
DOE/NRC Quarterly Management Meeting

Presented by:
Joseph D. Ziegler
Director, Office of License Application and Strategy
Office of Repository Development
U.S. Department of Energy

August 19, 2004
Rockville, Maryland

Topics for Discussion

- **Progress Towards License Application (LA)**

  - Data, software, models

- **Key Technical Issues (KTI) Agreement Status**

- **Recent and Near-term Interactions**

- **Summary**

Progress Towards License Application

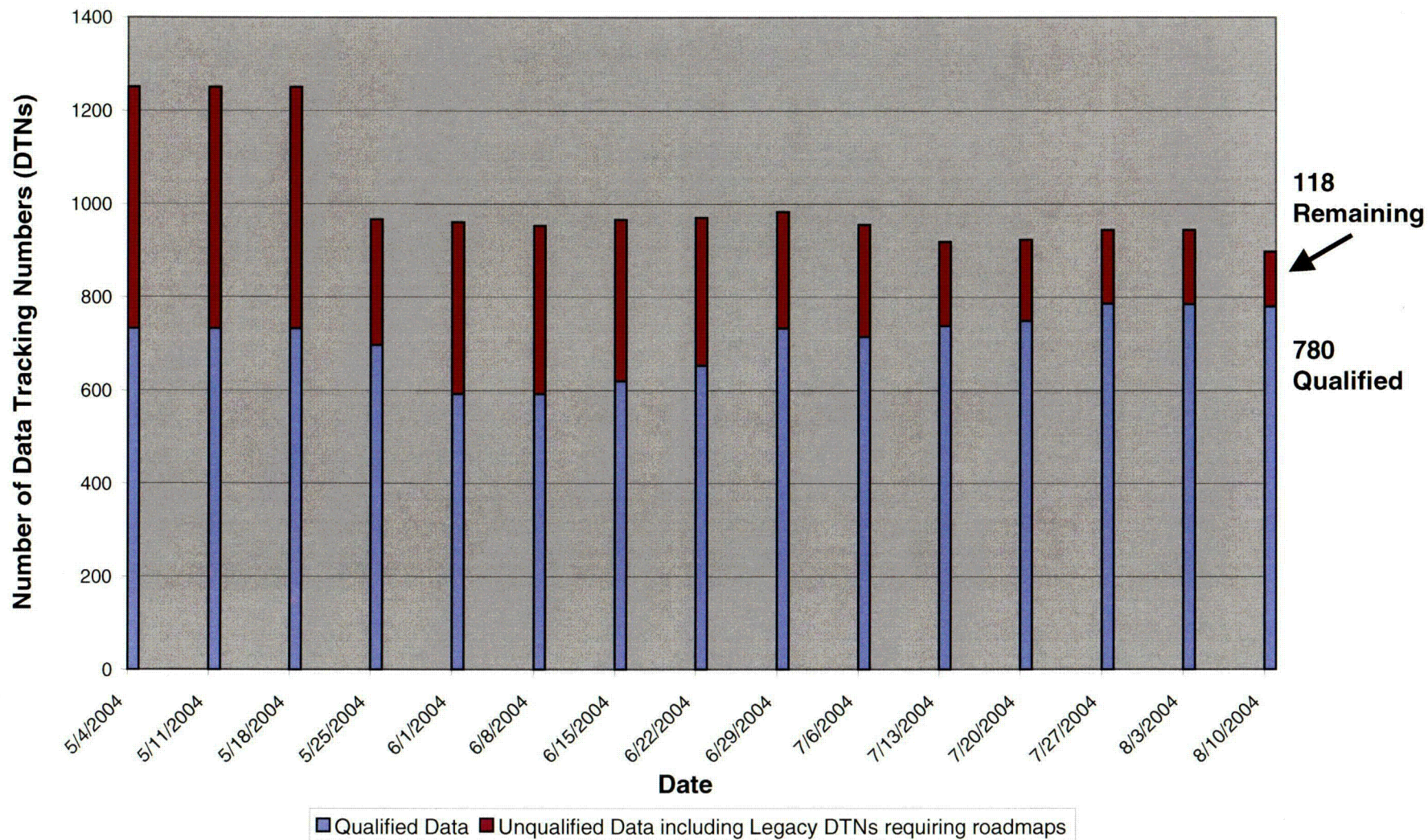| COMPONENT	% COMPLETE (April Data)	% COMPLETE (June Data)
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Data Qualification Status
(as of August 10)

Chart: Number of Data Tracking Numbers (DTNs) vs Date (5/4/2004 through 8/10/2004), showing Qualified Data and Unqualified Data including Legacy DTNs requiring roadmaps. Annotations: 118 Remaining; 780 Qualified.

Legend: ■ Qualified Data ■ Unqualified Data including Legacy DTNs requiring roadmaps

Data Qualification Progress/Projection
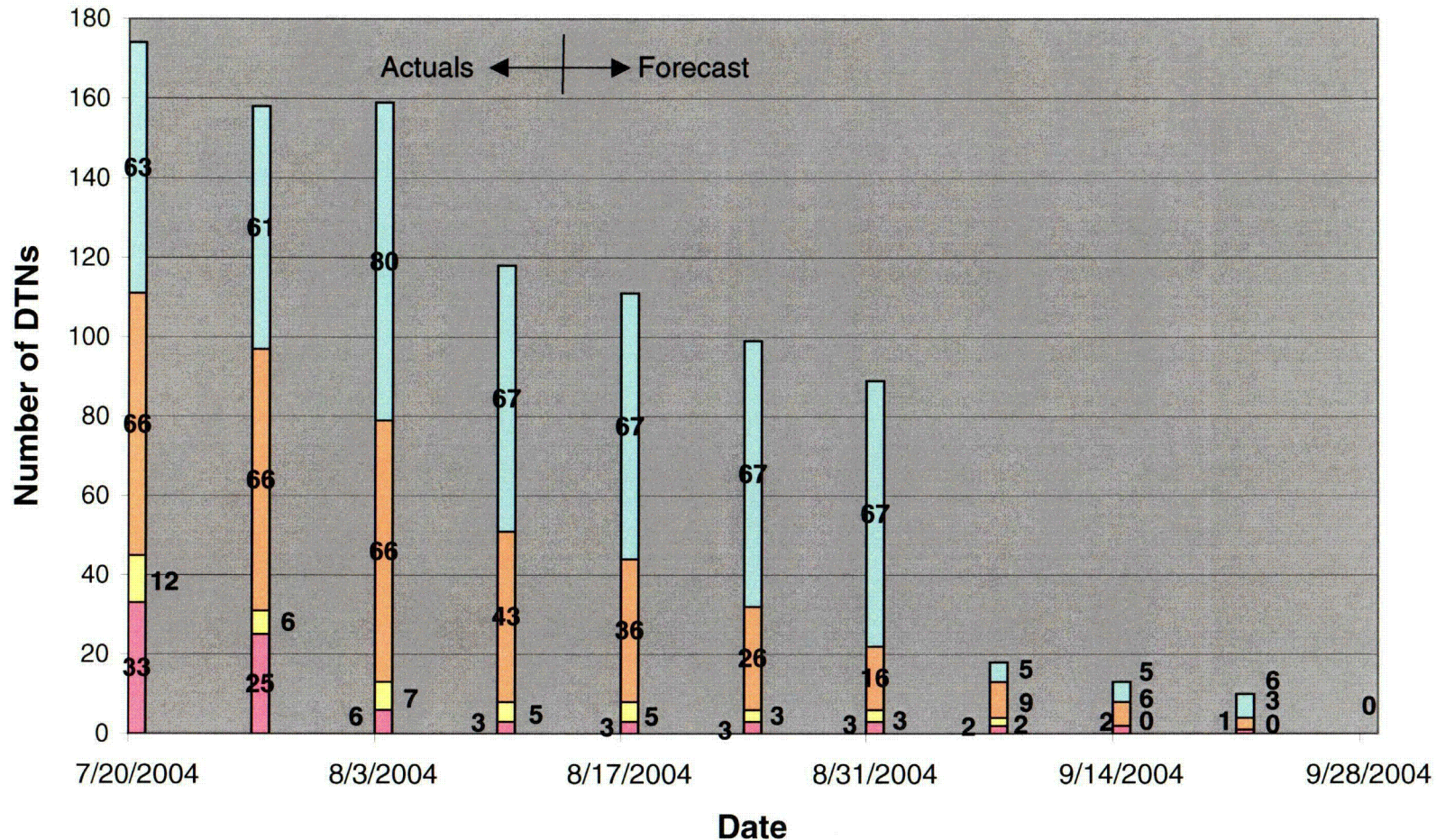
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C05

Software Qualification Work Off Curve
(as of August 10, 2004)
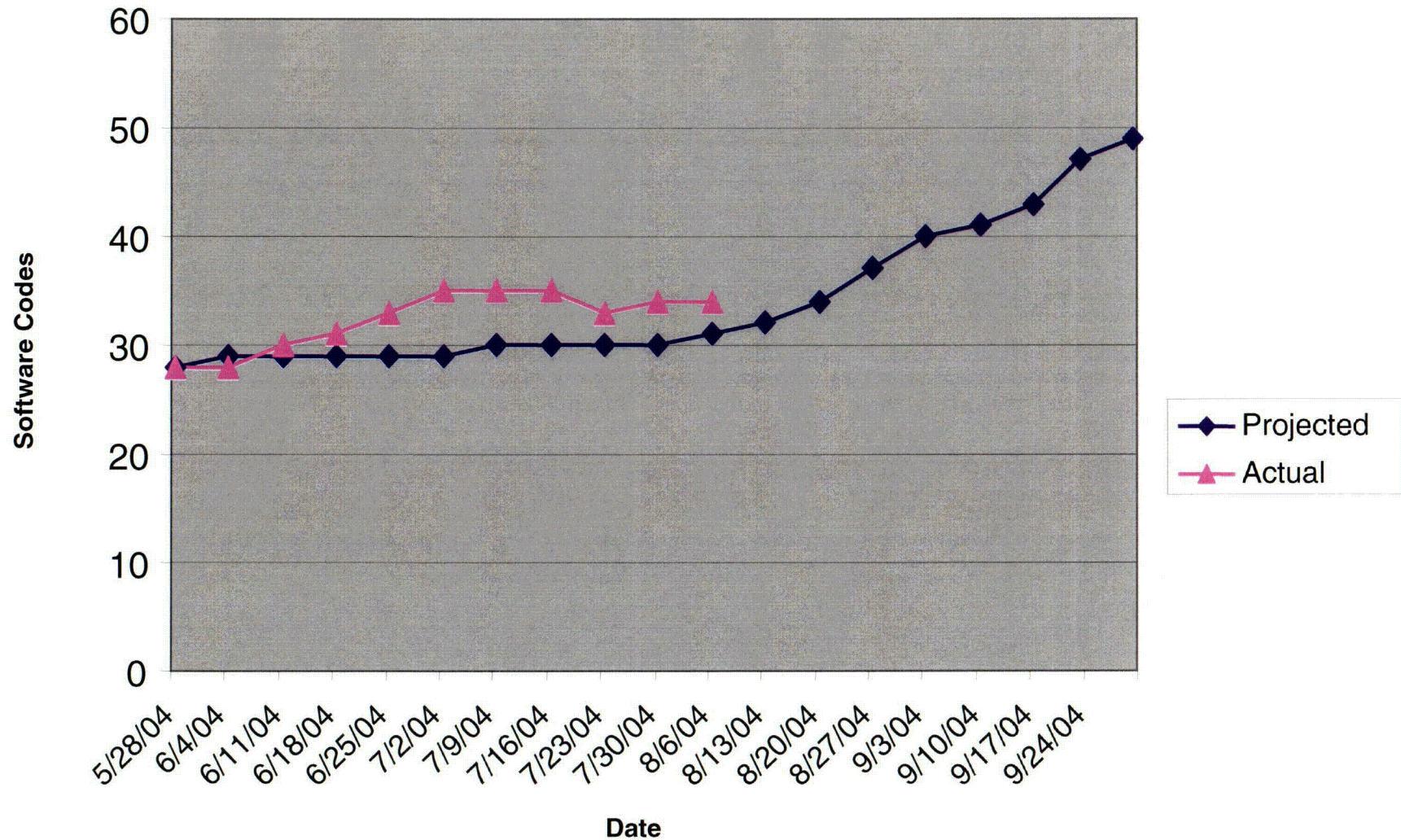
Verification Testing of Legacy Software
(as of August 10, 2004)

C07
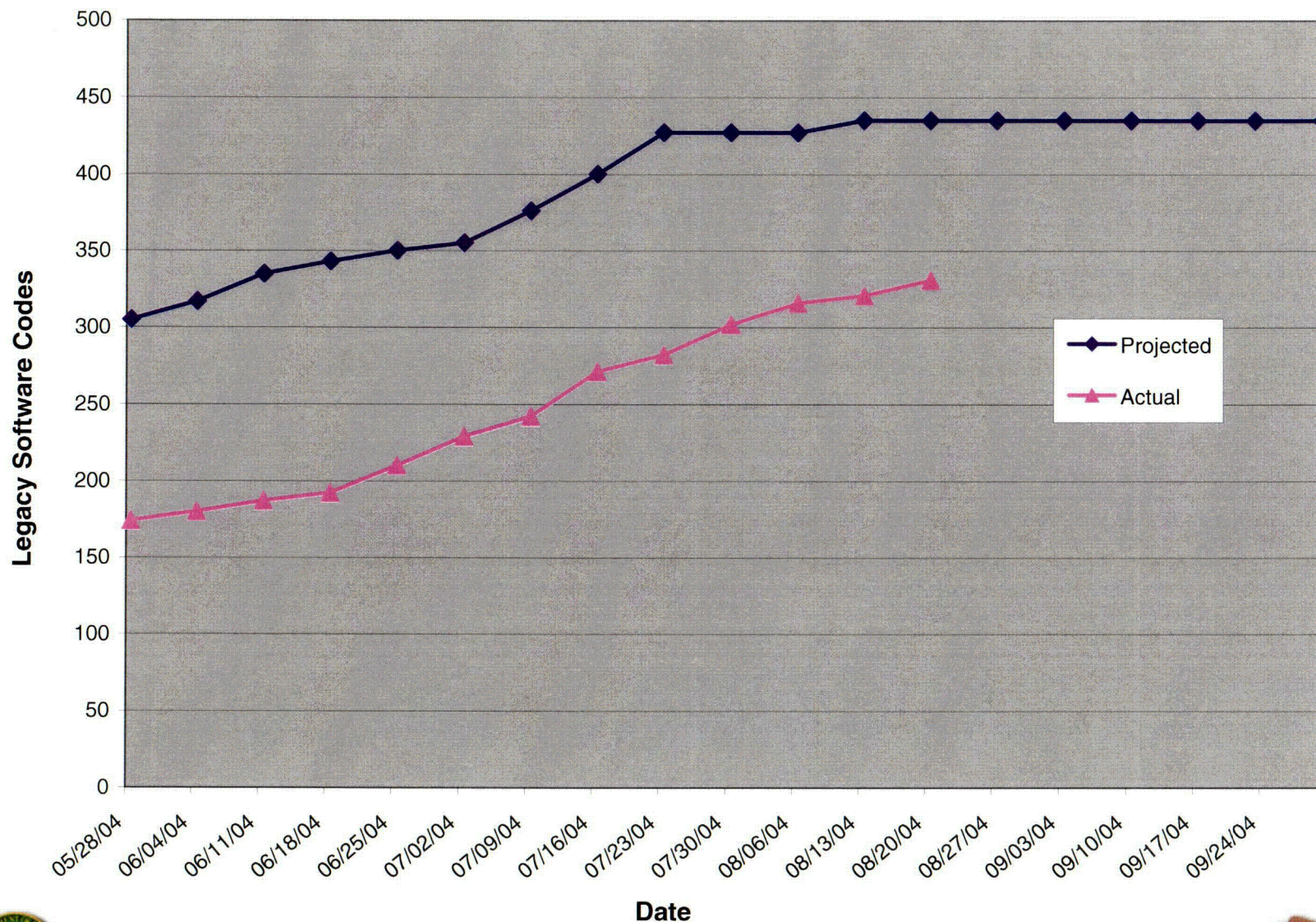
Regulatory Integration Team/Analysis Model Report Approvals

(as of August 10, 2004)

90 documents total includes 35 models and 55 analyses
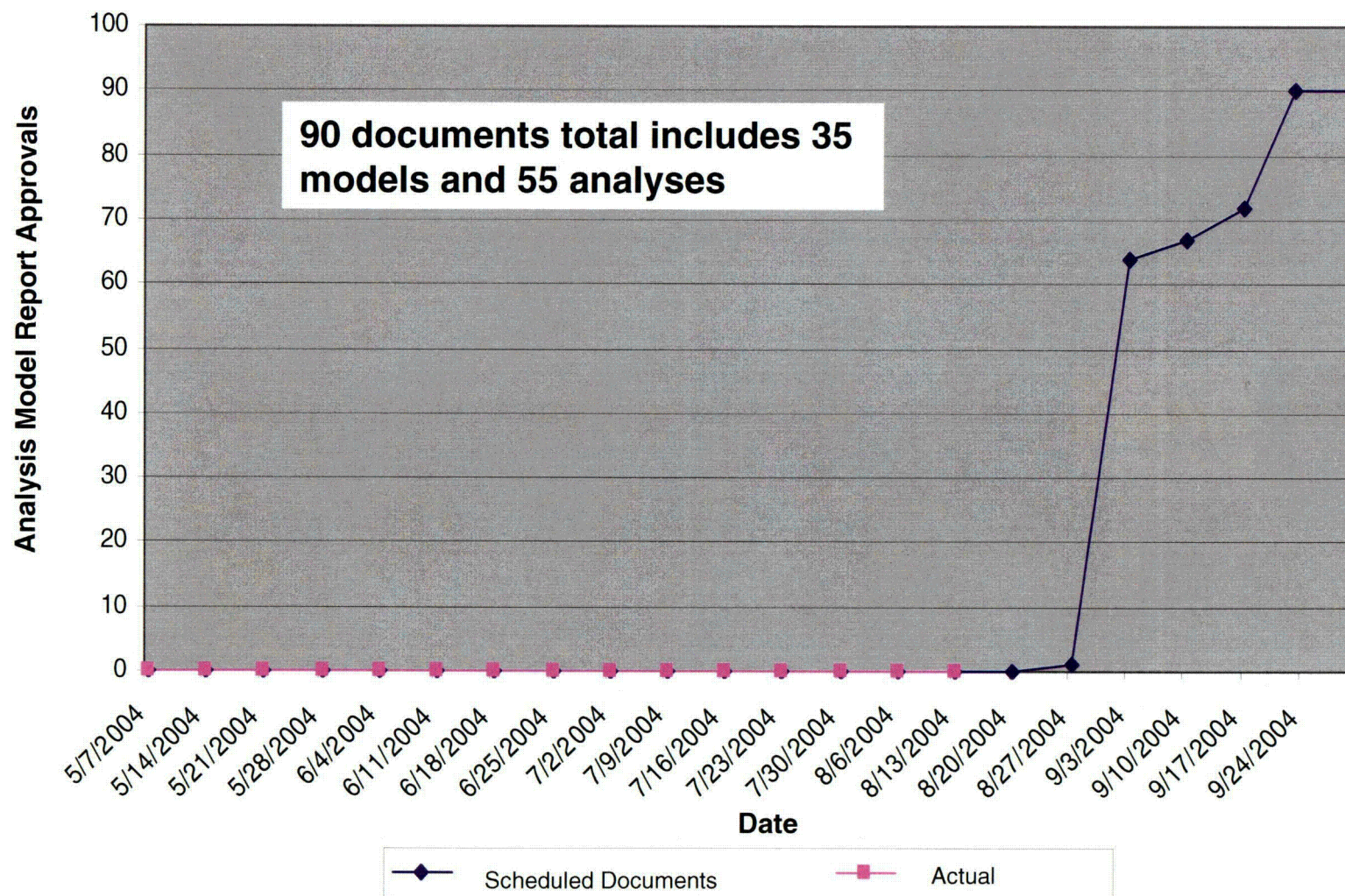
Key Technical Issue Agreement Status

- 281 of 293 agreement responses submitted as of August 11, 2004

- Remainder of the agreement responses scheduled to be addressed by August 31

- Approach to transition Key Technical Issue (KTI) agreement process into the licensing process

Key Technical Issue Agreements Status Summary
(as of August 11, 2004)

| KTI ID	Agreements Reached	Agreements Submitted to NRC	Responses Submitted In NRC Review	Partial Responses Submitted	NRC Needs Additional Information	Responses Remaining to be Submitted	Agreements Complete
CLST	58	57	35	2	0	1	20
ENFE	41	40	22	1	1	1	16
GEN	1	1	0	1	0	0	0
IA	22	22	7	0	1 *	0	14
PRE	9	9	4	0	2 *	0	3
RDTME	23	23	22	0	0	0	1
RT	29	29	22	1	0	0	6
SDS	10	10	5	0	0	0	5
TEF	15	14	7	0	0	1	7
TSPAI	58	49	27	2	4	9	16
USFIC	27	27	9	0	0	0	18
TOTAL =	293	281	160	7	8 *	12	106

*Total responses to be submitted to NRC by the end of August (remaining responses, partial responses and AIN's) = 25
and does not include PRE.7.04 AIN (to be addressed in the LA) and the recently received IA 2.11 AIN (being evaluated by DOE)

Submitted vs Scheduled
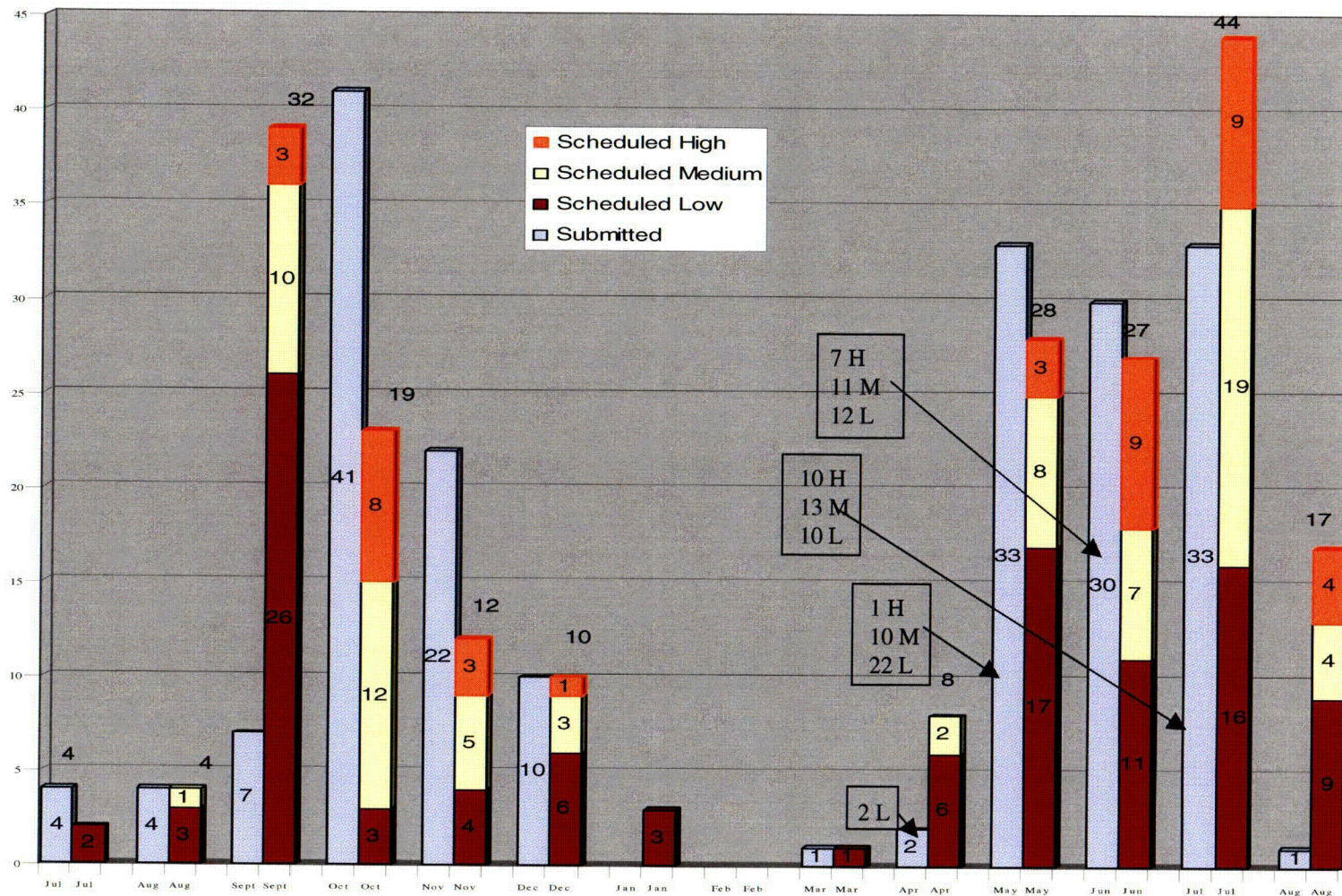## (as of August 11, 2004)
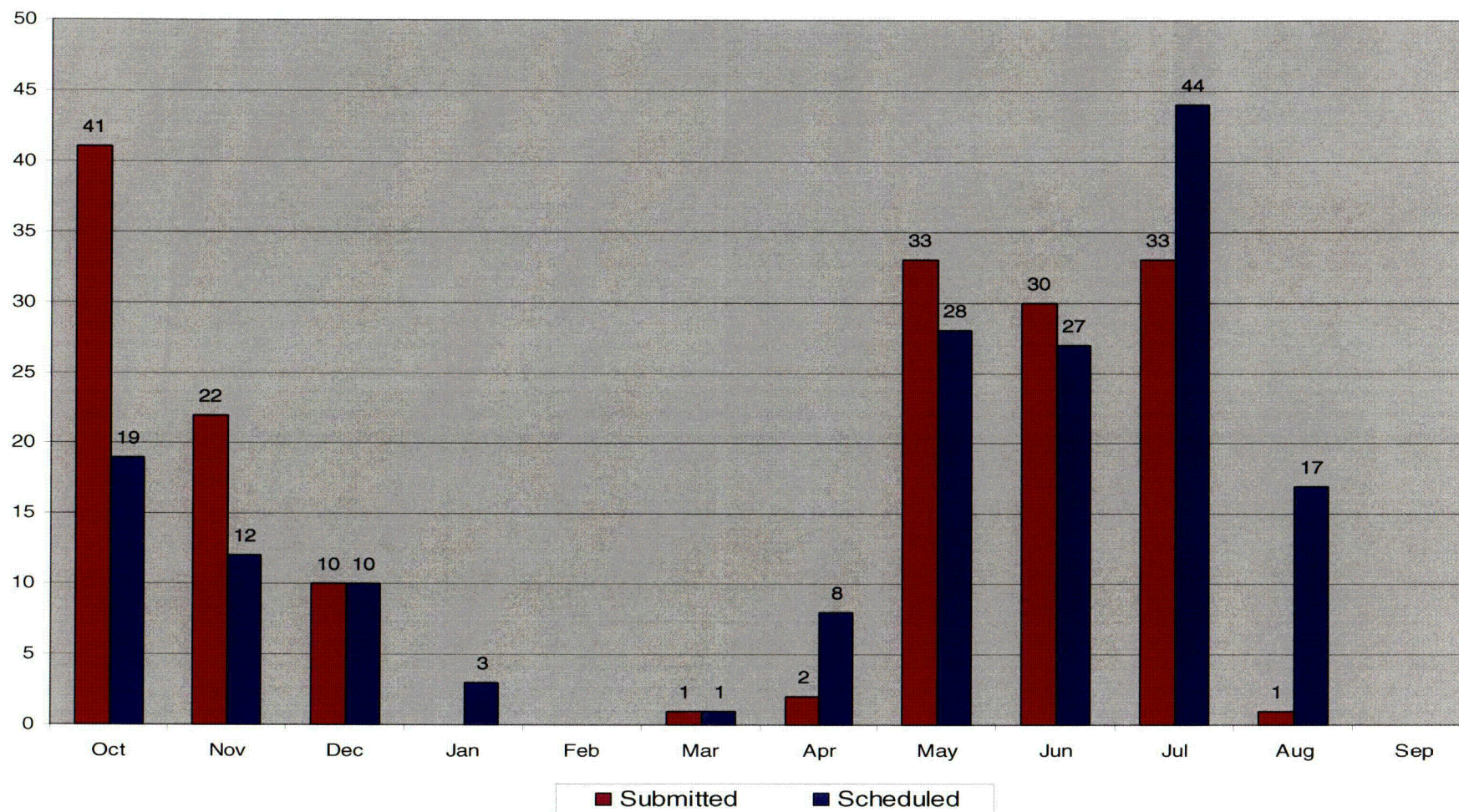
Based on April 2, 2004 DOE schedule. Does not include PRE 7.04 AIN (To be addressed in the LA) or IA 2.11 AIN (Recently received and being evaluated by DOE).

Key Technical Issue Agreements Risk Rank Schedule

(as of August 11, 2004)

Recent Interactions

- **May 03: Technical Exchange - Performance Indicators**

- **May 04: Quarterly Quality Assurance Meeting**

- **May 05: Technical Exchange - NRC Technical Evaluation of DOE Analysis Model Reports, Process Controls and Corrective Actions**

- **May 11: Quarterly Management Meeting**

- **May 12: Technical Exchange - Items Important to Safety**

Near-Term Interactions

- **Scheduled upcoming interactions:**

  - Surface Facility Design and   September 14-15
    Preclosure Safety Assessment-LA/
    High Level Decision Schedule

  - Igneous Aeromagnetic Survey   September 21
    Results

  - Quality Assurance Requirements   September 29
    and Description

  - TSPA-LA   October TBD

  - Management Meeting   November 17 (tentative)

Summary

- On target to submit the LA in December 2004

- On schedule to submit remaining KTI Agreement responses by August 31, 2004

- Any additional NRC questions on KTI Agreement responses after July 23, 2004 will be resolved through the licensing process

- Future interactions prior to submittal of the LA should focus on clarification of issues

Quality Assurance Program Update

Presented to:
DOE/NRC Quarterly Management Meeting

Presented by:
R. Dennis Brown
Director, Office of Quality Assurance
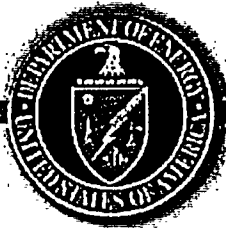Office of Civilian Radioactive Waste Management
U.S. Department of Energy

August 19, 2004
Rockville, Maryland

Quality Assurance Program Update

- **Models**

- **Corrective Action Program**

- **Audit Results**

- **Internal OQA Audit Results**

- **Organizational Change**

- **Quality Assurance Management Policy (QAMP)**

- **QARD Status and Issues**

- **Strategic Planning**

Quality Assurance Program Update

Presented to:

DOE/NRC Quarterly Management Meeting

Presented by:

R. Dennis Brown

Director, Office of Quality Assurance

Office of Civilian Radioactive Waste Management

U.S. Department of Energy

August 19, 2004

Rockville, MD

Quality Assurance Program Update

- **Models**

- **Corrective Action Program**

- **Audit Results**

- **Internal OQA Audit Results**

- **Organizational Change**

- **Quality Assurance Management Policy (QAMP)**

- **QARD Status and Issues**

- **Strategic Planning**

Models

- **Quality Engineering monitoring**

- **QA Surveillances on RIT**

- **CAR-001 verification activities**

Corrective Action Program Transition Activities

- BSC QA reviewing 100% Level C's

- OQA reviewing 100% Level C's

- OQA observing selected BSC QA oversight activities

- OQA surveillance of CAP in late FY04

- OQA audit of CAP in early FY05

Audit/Surveillance Results

- Corrective Action Program (CAP)

- Software QA

- TSPA

- Analysis Reports

- EM activities

Internal OQA Audit Results

- August 9-13, 2004

- Performed annually

- Three independent QA auditors

- OQA effectively implementing QA program

- One Level B Condition Report

Organization Change

- OQA Director reports to Deputy Director, ORD for all 10CFR63 related activities

- OQA Director reports to Director, OCRWM for all other OCRWM related activities (transportation, science & technology, etc.)

- New OQA Auditor for EM audits

Quality Assurance Management Policy

- **Overall OCRWM QA Policy**
  - QARD
  - AQAP
  - Other OCRWM QA Plans

QARD Status

- **Revision 15 (10CFR60)**

- **Revision 16 (10CFR60)**

- **Next Revision (10CFR63)**

  - **NRC/DOE Technical Exchange**

Strategic Planning

- ## New effort

- ## OQA support for LA review, design, construction, and operations

  - ### Skills mix/staffing

  - ### Training

  - ### Processes and Procedures